

REQUEST FOR INFORMATION (RFI)

U.S General Services Administration (GSA)

Financial Reporting, Audit and Internal Control Collaboration Tool

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1. Disclaimer

This Request for Information (RFI) is for planning purposes only and is not a Request for Quotes (RFQ), Request for Proposals (RFP), Invitation for Bids (IFB) or an obligation on the part of the Government to acquire any services. Responses to this RFI are not offers and cannot/will not be accepted by the Government to form a binding contract. The Government reserves the right to determine how it should proceed as a result of this notice. Furthermore, those who respond to this RFI should not anticipate feedback with regard to their submission. The Government will not pay any cost incurred in response to this RFI. All costs associated with responding to this RFI will be solely at the responding party's expense. The information provided in this RFI is subject to change and is not binding on the Government.

2. Mission

The U.S. General Services Administration (GSA), established by President Harry S. Truman in 1949, has been delivering the best value in real estate, acquisition and technology services, to the federal government and American people for more than 67 years. The agency's core mission is to help federal agencies buy smarter, reduce their real estate footprint, provide efficient, cost saving technology and create a better, faster federal government.

The Office of the Chief Financial Officer (OCFO) provides financial services to GSA to help accomplish their mission. The CFO Act of 1990 requires federal agencies to have an independent audit of their financial statements. This requires extensive collaboration between OIG, GSA and the Independent Auditor.

Annually GSA must provide Congress with a copy of the Agency Financial Report (AFR) which includes Management's Discussion and Analysis, Financial Section and Other Information.

3. Scope of work

The GSA expectation is that all responders will provide a detailed solution that consists of a collaboration tool that addresses tracking Prepared by Client (PBC) audit requests, internal control documentation that supports A-123 requirements, and compilation of an Agency Financial Report (AFR).

4. Description of Information Requested

All interested parties shall furnish the following minimum information:

- a) Name of company;
- b) POC, Telephone number(s), address, and email address;
- c) Summary and detailed documentation of proposed solution;

- d) Rough order of magnitude;
- e) Contract vehicle or vehicles under which the solution can be provided;
- f) Any assumptions or exceptions;
- g) Any pertinent questions/concerns.

5. Introduction

The purpose of this RFI is to solicit technical approaches and budgetary estimates for an enterprise capability to track the status of Audit Prepared by Client (PBC) requests, Audit Notification of Findings and Recommendations (NFRs), Corrective Action Plans (CAPs), internal risk assessments, enterprise risk management portfolio, documentation to support the reporting requirements in Office of Management and Budget (OMB) Circular A-123, *Management's Responsibility for Enterprise Risk management and Internal Control*, and to assist the Government in assessing the range of solutions available in the market. The responders will provide a detailed description of the operation, maintenance and required technical support to operate and maintain their solution to assist the Government in its market research.

6. Background

6.1 Overview

The General Services Administration (GSA) provides real estate, acquisition and technology services to the government. There are two main lines of business the Federal Acquisition Service (FAS) and the Public Buildings Service (PBS), and various staff offices that support GSA operations including the Office of Government wide Policy (OGP), the Office of the Chief Financial Officer, the Office of the Chief Information Officer (OCIO), to name a few. Employing over 16,000 (+/- 500) full time employees and contractors, the GSA is responsible for providing technology services to other federal government agencies, to include acquisition support through the administration of GSA schedules and Government Wide Acquisition Contracts (GWACs). The GSA is also tasked with the responsibility for leasing, and maintenance of over 9,600 buildings and 215,500 government vehicles. More information about the GSA can be found at www.gsa.gov.

GSA has a large number of people involved in the annual audit, providing financial support to the organization, and ensuring internal controls are effective. The Agency Financial Report (AFR) has multiple sections that must be included per the OMB Circular A-136, *Financial Reporting Requirements*, which means multiple people are responsible for various sections of the AFR. The report also contains supporting documentation in a variety of formats including but not limited to: financial statements, tables, spreadsheets, graphs and line diagrams.

Any solution proposed must include at a minimum:

- Federal Risk and Authorization Management Program (FedRAMP) Moderate certification
- Continuation of Google Platform and Usage
- Proposals for minimizing costs while maximizing the effectiveness of GSA's internal control and audit environment

We anticipate the current industry solutions are innovative and will provide GSA value, increase productivity and reduce operational costs.

6.2 Deployment

It is anticipated that the responder will provide a sufficiently detailed deployment scenario to include all hardware, software, network resources and bandwidth requirements, as well as any technical support services for implementation and any training requirements. If the solution described is not expected to be housed within GSA like a Cloud or Software as a Service (SaaS) solution, also provide detailed network and security requirements. The solution should not include any platform that uses SharePoint since GSA will not renew its SharePoint licenses beyond September 30, 2018.

7. Statement of Need.

Statement of Need for a Financial Reporting, Audit and Internal Control Collaboration Tool

7.1 Version Control

Version control is a critical aspect for GSA, including a complete audit trail. Specifically, GSA requires a collaboration tool that will track audit PBCs, create the AFR (to include version control, assign access, and set permissions to various sections of the document), meet A-123 requirements, and create process charts and narratives.

To ensure version control of documents in the collaboration tool, GSA requires the ability to grant access to sections of documents (down to the cell), maintain a complete audit trail for version control purposes, track all changes by date, manage access to reports to individuals or groups, and manage the level of access (i.e. create, view, suggest, or edit).

The collaboration tool will meet the following needs of GSA:

A. Agency Financial Report - The AFR is presented to Congress on an annual basis and consists of many sections owned by various offices and individuals within the organization

(<https://www.gsa.gov/reference/reports/budget-performance/annual-reports>). The tool will be capable of maintaining each page and section of the AFR, controlling access and edit rights, allow edit rights to pages and sections to one or multiple users, maintain version control, and ultimately produce a final version of the AFR.

B. Reporting and Analytical Tools - The tool should allow GSA to build process models, flowcharts, narratives, and reports. We require the capability to link numbers from the document into slide presentations and documents. The tool will need to provide storage for our documents. The tool will have the capability to store large amounts of data such as sample data and data populations used for testing compliance with policy and procedures. Storage will also need to accommodate original data, selected samples, documentation to support samples, test plans and test results.

The tool should include a sampling strategy to use in population sampling situations.

The tool should be able to reflect graphs in word documents that support numbers in the document. These graphs should be updated as the numbers in the document are updated.

The tool should also be able to allow us to put numbers in an excel spreadsheet or Google Sheet that can update the related numbers throughout the document.

C. Prepared by Client (PBC) Requests - The tool will have the capability to manage workflow by tracking PBC requests, assigning related tasks, and storing requested documentation in response to requests from GSA's independent auditor. The tool should also be able to send out reminder emails as requested due dates approach as well as when deadlines have passed with escalation capability. The tool should also be capable of organizing, maintaining, and storing PBC documentation for an extended period of time.

D. Audit Notification of Findings and Recommendations (NFRs) - The tool will have the capability to manage workflow by tracking NFRs, assigning related tasks and storing all versions of the NFR.

E. Corrective Action Plans (CAPs) - The tool should have the ability to create and track CAPs including the ability to upload document to verify the step has been accomplished, due dates by which the actions are to be correct and regular reminders and generate status reports.

F. Enterprise Risk Management (ERM) - The tool should have the ability to encompass a standardized approach to enterprise risk management, including the ability to identify, assess, monitor, and report on risks. The tool should follow a COSO framework for ERM, identifying and assessing risks based on likelihood, impact, velocity, and current control capabilities. Reporting on risks would include data visualizations that plot the likelihood and impact.

G. Office of Management and Budget (OMB) Circular A-123, Management's Responsibility for Enterprise Risk Management and Internal Control. The tool should have the capability to support storing all documents required to support execution of OMB Circular A-123.

H. Assurance Statement - The tool will have the capability to create and issue to individual users within GSA an online survey containing questions formatted such as text boxes, radio buttons, and drop down menus for respondents to select answers to various survey questions. The tool should have the capability of monitoring the status of surveys, submission of completed surveys, and reporting tools to analyze and summarize responses across the organization. The surveys will have a broad distribution throughout the agency and we require the capability for distribution of the survey from within the tool.

I. Internal Control Plan - The tool will have the capability to maintain an Internal Control Plan (ICP) for GSA. The ICP will consist of an inventory of over 200 assessable units (business processes) and the required reviews (low risk assessments and Internal Control Reviews) for each assessable unit. The tool will list the name of the assessable unit and its organizational location by service, staff office, and/or region; process owners; previous review completed and date completed; future review due date; and current risk rating.

J. Risk Assessments - Risk assessments are used at GSA to meet A-123 reporting requirements and are performed on low risk assessable units. The tool will have the capability to create and store a low risk questionnaire that contains questions formatted such as text boxes, radio buttons, and drop down menus for respondents to select answers to various survey questions. The tool should have the capability of monitoring the status of risk assessments, submission of completed risk assessments, and reporting tools to analyze and summarize responses across the organization. The low risk questionnaire will have a broad distribution throughout the agency and we require the capability for distribution of the survey from within the tool. The tool should have the capability to determine a risk level based on responses to risk assessment questions in the survey tool. The tool should allow for submission to management and approval tracking by management. The tool should allow for storage, access management, and long-term retention of all risk assessments.

K. Internal Control Reviews - Internal Control Reviews at GSA are used to meet A-123 reporting requirements and are performed on medium and high risk assessable units. The tool will have the capability to create and store internal control reviews performed on assessable units within GSA. The internal control reviews consists of the following: (a) a series of questions containing text boxes, radio buttons, and drop down menus; (b) identification of functions, objectives, and internal controls; (c) selection of key controls for testing; (d) a risk assessment for process owners to identify assessable unit risks, mitigation techniques, and ratings for identified risk; (e) fields to document testing of key controls in the assessable unit; and (f) assigning a risk rating based on the risks identified on the risk assessment.

The tool should have the capability of monitoring the status of internal control reviews, submission of reviews, and reporting tools to analyze and summarize responses across the organization. The reviews will have a broad distribution throughout the agency and we require the capability for distribution from within the tool. The tool should allow for collaboration within the document by process owners, managers, and liaisons. The tool should allow for submission to management and approval tracking by management. The tool should allow for storage, access management, and long-term retention of all completed reviews.

L. Evaluation of the 5 Components and 17 Principles of Internal Control - This evaluation which is required by the GAO and OMB includes maintaining an inventory of Agency activities to support the 5 Components and 17 principles, documenting the testing strategy and completion of required testing, analysis of test results, and identification of areas within the agency for additional internal control testing.

L. Data Transfer - The tool should have the capability to transfer existing supporting documents from the current platform i.e. Google etc. to the new collaboration tool.

8. Questions for Industry

8.1 General

1. Provide an overview of the capabilities of your proposed solution to meet GSA's audit coordination, tracking of NFRs, tracking of CAPs, documentation for A123 requirements, including process flows, narratives, charts and graphs, AFR production. Please be creative and propose ways to optimize services and functionality while minimizing cost. How can we streamline our processes during a time of ever shrinking budgets?
2. What transition services, training, etc. do you provide?
3. How would you take GSA's current documents to put in your collaboration tool?

8.2 Product Requirements.

1. What makes your company best suited to meet GSA's Audit and internal control collaboration needs?
2. What security certifications have you already obtained? Is your service offered in a FedRAMP environment?
3. What distinguishes your product and services from other solutions available in the market?
4. What capabilities does your solution offer for integrating with existing products such as PDF documents, word, excel and PowerPoint?

5. What are the bandwidth requirements for participants to successfully collaborate in the tool simultaneously? How many people can be working in a document at once? Can you limit access to certain areas of a document, or certain fields of an excel document? Overall concurrent user limitations?
6. 6. If you would recommend a Cloud solution, does your solution meet the standards and requirements of (FedRAMP)? If you are not FEDRAMP approved what is the current state of your ability to be certified? <https://cloud.cio.gov/fedramp>
7. 7. Are there any customers using your tool for A-123 compliance? ERM? Please provide some references.
8. 8. Do you have examples of products that have been produced using your tool?